Patent Attorney Docket No. 64118.000192

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)	
)	
TEITELBAUM et al:)	Group Art Unit: Unassigned
)	
Serial No.: 10/534,055)	Examiner: Unassigned
)	
Filed: May 6, 2005)	
)	

Title: TRANSPEDICULAR INTERVERTEBRAL DISK ACCESS METHODS AND DEVICES

PETITION UNDER 37 C.F.R. § 1.47(a)

MAIL STOP PETITION

Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450

11/29/2005 LLANDGRA 00000051 10534055

03 FC:1464 S1

130.00 OP

Pursuant to 37 C.F.R. § 1.47(a) and M.P.E.P. § 409.03(a), Applicants hereby petition the Commissioner to accept its U.S. Application Serial No. 10/534,055 absent an Oath or Declaration signed by all named inventors. Joint inventors George P. Teitelbaum, Samuel M. Shaolian, Thanh V. Nguyen, To V. Pham, Vincent Divino, Jr., and Michael R. Henson have signed the enclosed Declaration.

Inventor Frank Nguyen is a nonsigning inventor, notwithstanding repeated and diligent efforts to obtain his signature by the entity to which an assignment of the application is owed, Medtronic Sofamor Danek, and by whom the inventor was employed, at the time of invention. Medtronic Sofamor Danek owns SDGI Holdings, Inc. which is the holding company to which

Medtronic Sofamor Danek intellectual property is assigned. Mr. Nguyen was employed by Vertelink Corporation which was acquired by Medtronic Sofamor Danek.

In support of this petition, Applicants have enclosed:

- (1) A Declaration bearing the executed signatures of George P. Teitelbaum, Samuel M. Shaolian, Thanh V. Nguyen, To V. Pham, Vincent Divino, Jr., and Michael R. Henson;
 - (2) A check for \$130.00 in accordance with 37 C.F.R. §1.17(h); and
- (3) A Declaration presenting facts relating to unsuccessful attempts to obtain the signature from the nonsigning inventor.

(A) Declaration by Joint Inventors

Inventors George P. Teitelbaum, Samuel M. Shaolian, Thanh V. Nguyen, To V. Pham, Vincent Divino, Jr., and Michael R. Henson have each made a declaration on their own behalf. MPEP 409.03(a)(A)(1). Because these inventors duly executed the Declaration in support of this application, the Declaration is filed in the names of those inventors on behalf of the remaining nonsigning inventor and on behalf of the entity to whom all inventors owe a duty of assignment, Medtronic Sofamor Danek. *See* MPEP 409.03(a)(A)(2) and 37 CFR 1.47(a).

(B) Proof of Unavailability to Sign

Applicants have enclosed the declaration of Yisun Song, Esq. containing relevant facts from which Applicants reasonably conclude that: (1) Applicants have made *bona fide* attempts to locate and obtain the signature of the nonsigning inventor and (2) nonsigning inventor Frank

Nguyen is unavailable. Also attached as Attachment A to the declaration of Yisun Song, Esq. is the declaration of Sabrina Chambers detailing relevant facts in connection with the same unavailable inventor in a related pending application, U.S. Patent Application Serial No. 10/999,216.

(C) Last Known Addresses of Non-Signing Inventor

Applicants were last aware of two addresses for Frank Nguyen. The first last known address for Mr. Nguyen is: 1995 E. Coalton Road, #77-203, Superior, CO 80027. The second last known address for Mr. Nguyen is 458 Sable, Rancho Santa Margarita, CA 92688.

(D) Facts Surrounding Unavailability to Sign

As detailed in the accompanying materials, Applicants and the entity to whom a duty of assignment is owed have made repeated, ongoing and diligent attempts to obtain the papers for completion of this application.

Frank Nguyen is no longer employed by Medtronic Sofamor Danek. Despite repeated requests, the nonsigning inventor has not responded with a signed declaration, as detailed in the accompanying Declaration. This was through no fault of the signing inventors or the entity to which a duty of assignment is owed.

Notwithstanding the unavailability of the nonsigning inventor to sign a Declaration despite diligent attempts to obtain the same, Applicants respectfully request the Commissioner to grant this petition, and to accept U.S. Application No. 10/534,055 for the prosecution in due

Attorney Docket No. 64118.000192 Application Serial No. 10/534,055

course to which Medtronic Sofamor Danek and Applicants George P. Teitelbaum, Samuel M. Shaolian, Thanh V. Nguyen, To V. Pham, Vincent Divino, Jr., and Michael R. Henson are entitled.

Applicants believe that no additional fees are due for filing this petition. In the event any additional fees are required, the Commissioner is authorized to charge all required fees, under 37 C.F.R. §1.17, or all required extension of time fees, to the undersigned's deposit account No. 50-0206.

Respectfully submitted, HUNTON & WILLIAMS

 $\mathbf{R}\mathbf{v}$

Yisun Song

Registration No. 44,487

Hunton & Williams LLP 1900 K Street, N.W., Suite 1200 Washington, D.C. 20006-1109 Telephone (202) 955-1950 Facsimile (202) 778-2201

Dated: November 23, 2005

35/09/2006 CSHOOT G0000008 500206 10534055 Sale Ref: 00000008 DAH: 500206 10534055 01 FC:1463 70.00 DA 130.00 DP

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)	
TEITELBAUM et al.)	Group Art Unit: Unassigned
Serial No.: 10/534,055)	Examiner: Unassigned
Filed: May 6, 2005)	
)	,

Title: TRANSPEDICULAR INTERVERTEBRAL DISK ACCESS METHODS AND DEVICES

DECLARATION OF YISUN SONG, ESQ.

- I, Yisun Song, state as follows:
- 1. I am a registered patent attorney (Reg. No. 44,487) employed by the law firm of Hunton & Williams LLP, legal representative of Medtronic Sofamor Danek for this matter. I submit this Declaration in support of the Petition under 37 C.F.R. 1.47 with respect to the above-referenced patent application.
- 2. A Notification of Missing Requirements under 35 U.S.C. 371 was mailed on July 25, 2005 from the U.S. Patent and Trademark Office with regard to the above-reference patent application. In order to respond fully to the Notification of Missing Requirements, a signed oath or declaration from all the inventors was requested.
- 3. In a related patent application (U.S. Patent Application Serial No. 10/999,216) with the same inventive entity, Frank Nguyen was also a non-signing inventor. Sabrina Chambers of Medtronic Sofamor Danek executed a declaration in support of Mr. Nguyen's unavailability to sign. A copy of Ms. Chambers' declaration along with the supporting Exhibits

1

Attorney Docket No. 64118.000192 Application Serial No. 10/534,055

A-J are also attached, as Attachment A. The Rule 47 petition for Frank Nguyen in U.S. Patent

Application Serial No. 10/999,216 was subsequently granted by the U.S. Patent and Trademark

Office on September 13, 2005.

4. On October 25, 2005, I sent a letter to Frank Nguyen, a copy of which is attached

to the Petition as Attachment B. In this letter, I requested Mr. Nguyen to sign the declaration and

Power of Attorney. A certified mail receipt for this letter is also attached, as Attachment C.

5. In response to the letter dated October 25, 2005 and the efforts related to

obtaining Mr. Nguyen's signature for U.S. Application Serial No. Serial No. 10/999,216, we

have not received a signed declaration from Mr. Nguyen.

6. I further hereby declare that all statements made herein of my own knowledge are

true and that all statements made on information and belief are believed to be true; and further

that these statements were made with the knowledge that willful false statements and the like so

made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the

United States Code, and that such willful false statements may jeopardize the validity of the

application or any patent issued thereon.

DECLARANT:

Yisun \$ong

Date:

2

ATTACHMENT A

DECLARATION OF SABRINA CHAMBERS

I, Sabrina Chambers, of Medtronic Sofamor Danek, which is the entity to whom a duty of assignment of the subject application is owed, do attest to the following facts, on information and belief, and as supported by the documentary evidence referenced below as Exhibits A - J, made part of this declaration:

- As part of my duties and responsibilities, I coordinate filing papers for patent applications filed on behalf of inventors of Medironic Sofamor Danek.
- 2. Mr. Frank Nguyen is a former employee of Vertelink Corporation, which was acquired by Medtronic Sofamor Danek in 2003. The employees of Vertelink Corporation became Medtronic Sofamor Danek employees. Mr. Nguyen ceased employment at Medtronic Sofamor Danek around April 2005. According to Vertelink Corporation's records, Mr. Nguyen's last known address was 1995 E. Coalton Road, #77-203, Superior, CO 80027.
- 3. I conducted an Internet search using www.whitepages.com to locate Mr. Nguyen, using the first and last name search parameters. I communicated with Mr. David Blurton of Medironic Sofamor Danek who conducted an investigation to locate Mr. Nguyen. Through these investigative efforts, I obtained a second address for Mr. Nguyen which is 458 Sable, Rancho Santa Margarita, CA 92688. In addition, I discovered a second first name, Viet, for Mr. Nguyen. At least one package was addressed to Viet A. Nguyen, see Exhibit D.
- 4. I attempted to contact Mr. Nguyen by mail using a commercial carrier at the last known address. See letter of April 4, 2005 Exhibit A, which included a pre-paid and pre-addressed return envelope. The package label indicates a ship date of April 4, 2005. See label

Exhibit B. The package was undeliverable and marked "Return to Sender." See label Exhibit B.

- 5. I attempted to contact Mr. Nguyen by mail using a commercial carrier at the second address. See letter of July 20, 2005 Exhibit C, which included a pre-addressed return envelope. FedEx label indicates a ship date of July 19, 2005. See label Exhibit D. FedEx tracking report indicates that the package was delivered on July 21, 2005. See FedEx tracking report Exhibit E. The package was shipped back to Medtronic Sofamor Danek on July 22, 2005. See label Exhibit F and FedEx tracking report Exhibit G.
- 6. Another attempt was made to Mr. Nguyen on July 29, 2005, with substantially the same letter and instructions. FedEx label indicates a ship date of July 29, 2005. See label Exhibit H. However, this package was returned to Medtronic Sofamor Danek on July 29, 2005. See FedEx tracking report Exhibit I and return FedEx tracking report Exhibit J.
- Medtronic Sofamor Danek has not received any return correspondence from Mr.
 Nguyen as a result of these mailings.

Attorney Docket No. 64118.000153 Application Serial No. 10/999,216

8. I further hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

DECLARANT:

Sabrina Chambers

Date:

Signature:	Sabrina Chamlers
Name:	Sabrina Chambers
Address:	MEDTRONIC SOFAMOR DANEK
Acaess.	1800 Pyramid Place
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STATE OF Shelly	
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EXHIBIT A



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tel 300 875 334

April 4, 2005

VIA FED EX

Mr. Frank Nguyen 1995 E. Coalton Road, #77-203 Superior, CO 80027

RE: Transpedicular Intervertebral Disc Access Methods and Devices

Our Ref. No. P21404.07

Dear Frank:

Please find enclosed an Assignment and Declaration that need to be filed with the patent office in the above-styled matter. Please sign the Declaration and Assignment in front of a notary and return them to me in the enclosed Fed Ex envelope.

Thank you for your assistance with this matter. If you have any questions, please feel free to contact me.

Sincerely,

John F. Thompson Senior Patent Counsel

JFT:smc

EXHIBIT B



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Sup to (901)34.078. Frank Nguyen

1995 E. Coalton Rd. #77-203 Superior, CO 80027

EXHIBIT C



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July 20, 2005

VIA FED EX

Mr. Frank Nguyen 458 Sable Rancho Santa Margarita, CA 92688

RE: Transpedicular Intervertebral Disc Access Methods and Devices

Our Ref. No. P21404.07

Dear Mr. Nguyen:

Please find enclosed an Assignment and Declaration that need to be filed with the patent office in the above-styled matter. Please sign the Declaration and Assignment in front of a notary and return them to me in the enclosed Fed Ex envelope.

Thank you for your assistance with this matter. If you have any questions, please feel free to contact me.

Sincerely,

John F. Thompson Senior Patent Counsel

JFT:smc

EXHIBIT D

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EXHIBIT E

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Track Shipments Detailed Results



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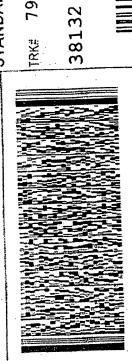
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Irvine, CA 92613

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EXHIBIT G

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Track Shipments Detailed Results



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EXHIBIT I

Track Shipments Detailed Results



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EXHIBIT J

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Track Shipments Detailed Results



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ATTACHMENT B



October 25, 2005

HUNTON & WILLIAMS LLP 1900 K STREET, N.W. WASHINGTON, D.C. 20006-1109

TEL 202 • 955 • 1500 FAX 202 • 778 • 2201

YISUN SONG
DIRECT DIAL: 202-955-1966
EMAIL: ysong@hunton.com

FILE NO: 64118.000192

<u>VIA CERTIFIED MAIL</u> RETURN RECEIPT REQUESTED

Mr. Frank Nguyen 1995 E. Coalton Road, #77 Superior, CO 80027

Re: U.S. Patent Application No. 10/534,055 National Phase of PCT/US03/09285

Entitled: "Transpedicular Intervertebral Disk Access Methods and Devices"

Dear Frank:

Enclose for your execution is the Declaration and Power of Attorney for use in connection with the above-identified patent application. Please return the signed document to us at your earliest convenience, so that we may file it with the U.S. Patent and Trademark Office (Patent Office) by the next deadline, November 25, 2005. Please note that the final deadline to respond is February 25, 2006. However, to avoid the payment of additional extension fees, please let me know if you will not be able to return the Declaration to us by the November 25, 2005 due date.

We are also enclosing for your convenience, a copy of the patent application as filed with the U.S. Patent Office on May 6, 2005.

If you have any questions, please feel free to call at your convenience.

Very best regards,

Yisun Song

YS∀rp Enclosures

cc: Tyler Maddry (w/o encls.)

ATTACHMENT C

U.S. Postal Service CERTIFIED MAIL RECEIPT Concession of the Control of the Con	Z.
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SENDER: COMPLETE THIS SECTION	COMPLETE THIS SECTION ON DELIVERY
■ Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired. ■ Print your name and address on the reverse so that we can return the card to you. ■ Attach this card to the back of the mailpiece, or on the front if space permits. 1. Article Addressed to: Mr. Frank Nguyen 195 E. Coalton Road	A. Signature Compare Compare
Superior, CO 80027	3. Service Type AD Certified Mail
	4. Restricted Delivery? (Extra Fee)
2. Article Number (Transfer from service label) 7 (?002	2030/0007 8026/5844 14

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